

#6  
SP

11-20-03



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Gilbert Neiger, et al.

Application No.: 09/752,134

Filed: December 27, 2000

For: NEW PROCESSOR MODE FOR LIMITING THE )  
 OPERATION OF GUEST SOFTWARE RUNNING )  
 ON A VIRTUAL MACHINE SUPPORTED BY A )  
 VIRTUAL MACHINE MONITOR )

Examiner: Not Yet Assigned

Art Unit: 2186

RECEIVED

NOV 03 2003

Technology Center 2100

Commissioner for Patents  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

FACSIMILE TRANSMITTAL

I hereby certify that this correspondence is being transmitted by facsimile to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, in accordance with 37 CFR § 1.6(d), on the date shown below.

on October 28, 2003

Date of transmission

Michelle Begay

Name of Person Faxing Correspondence

October 28, 2003

Signature

Date

Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Pursuant to 37 C.F.R. § 1.97, this Information Disclosure Statement is being submitted under one of the following (as indicated by an "X" to the left of the appropriate paragraph):

X 37 C.F.R. §1.97(b).

\_\_\_\_\_ 37 C.F.R. §1.97(c). If so, then enclosed with this Information Disclosure Statement is one of the following:

\_\_\_\_\_ A statement pursuant to 37 C.F.R. §1.97(e) or

\_\_\_\_\_ A check for \$180.00 for the fee under 37 C.F.R. § 1.17(p).

\_\_\_\_\_ 37 C.F.R. §1.97(d). If so, then enclosed with this Information Disclosure Statement are the following:

(1) A statement pursuant to 37 C.F.R. §1.97(e);

(2) A petition requesting consideration of the Information Disclosure Statement; and

(3) A check for \$ 180.00 for the fee under 37 C.F.R. §1.17(i) for submission of the Information Disclosure Statement.

If there are any additional charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Dated: October 28, 2003

Marina Portnova

Marina Portnova  
Reg. No. 45,750

12400 Wilshire Blvd.  
Seventh Floor  
Los Angeles, CA 90025-1026  
(408) 720-8300

Substitute for Form 1449A/PTO (Modified)

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

OCT 3 1 2003

PATENT &amp; TRADEMARK OFFICE

Sheet 1

of

4

**Complete if Known**

Application Number	09/752,134
Filing Date	12/27/00
First Named Inventor:	G. Neiger, et al.
Group Art Unit	2186
Examiner Name	Unassigned

Attorney Docket Number 042390.P9770

**U.S. PATENT DOCUMENTS**

Exam. Initial*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number known)	Kind Code <sup>2</sup> (If known)			
		2001/0021969	A1	Burger, Stephen, G., et al.	09-13-2001	
		2001/0027527	A1	Khidekel, Yuri, et al.	10-04-2001	
		4,037,214		Birney, Richard E. et al.	07-19-1977	
		4,247,905		Yoshida, Yukihiko, et al.	01-27-1981	
		4,347,565		Kaneda, Saburo, et al.	08-31-1982	
		4,571,672		Hatada, Minoru, et al.	02-18-1986	
		5,079,737		Hackbarth, Holden, G.	01-07-1992	
		5,319,760		Mason, Andrew H., et al.	06-07-1994	NOV 03 2003
		5,317,705		Gannon, Patrick M., et al.	05-31-1994	
		5,386,552		Garney, John I.	01-31-1995	Technology Center 2100
		5,437,033		Inoue, Taro, et al.	07-25-1995	
		5,504,922		Seki, Yukihiro, et al.	07-02-1996	
		5,511,217		Nakajima, Atsushi, et al.	04-23-1996	
		5,522,075		Robinson, Paul T., et al.	05-28-1996	
		5,628,022		Ueno, Masahiro, et al.	05-06-1997	
		5,737,604		Miller, David A., et al..	04-07-1998	
		5,737,760		Grimmer, Jr., George G., et al.	04-07-1998	
		5,757,604		Bennett, Jeffrey, J.A., et al.	05-26-1998	
		5,757,919		Herbert, Howard C., et al.	05-26-1998	
		5,852,717		Bhide, C. H., et al.	12-22-1998	
		5,854,913		Goetz, John W., et al.	12-29-1998	
		5,872,994		Akiyama, Shin-Ichiro, et al.	02-16-1999	
		5,953,502		Helbig, Sr., Walter A.	09-14-1999	
		6,055,637		Hudson, Jerome, D., et al.	04-25-2000	
		6,075,938		Bugnion, Edouard, et al.	06-13-2000	
		6,085,296		Nitin Y. Karkhanis	07-04-2000	
		6,101,584		Satou, Mitsugu, et al.	08-08-2000	
		6,125,430		Karen L. Noel, et al.	09-26-2000	
		6,148,379		Curt F. Schimmel	11-04-2000	
		6,182,089		Ganapathy, Narayanan, et al.	01-30-2001	
		6,192,455	B1	Zohar Bogin, et al.	02-20-2001	
		6,249,872	B1	Frank L. Wildgrube, et al.	06-19-2001	

RECEIVED

NOV 03 2003

Examiner Signature		Date Considered	
-----------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Substitute for Form 1449A/PTO (Modified) *PATENT & TRADEMARK*

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

*(use as many sheets as necessary)*

Sheet 2 of 4 Attorney Docket Number 042390.P9770

## U.S. PATENT DOCUMENTS

RECEIVED

NOV 03 2003

## Technology Center 2100

Examiner Signature		Date Considered	
-----------------------	--	-----------------	--

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup>See attached Kinds of U.S. Patent Documents. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). <sup>4</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

**Burden Hour Statement:** This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

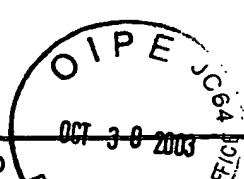
<p>Substitute for Form 1449/PTO</p> <p><b>INFORMATION DISCLOSURE</b> <b>STATEMENT BY APPLICANT</b></p> <p>(use as many sheets as necessary)</p>					<i>OCT 30 2003</i> <small>PATENT &amp; TRADEMARK OFFICE</small>		<b>Complete if Known</b>			
							Application Number	09/752,134		
							Filing Date	12/27/00		
							First Named Inventor:	G. Neiger, et al.		
							Art Unit	2186		
							Examiner Name	Unassigned		
Sheet	3	of	4			Attorney Docket Number		042390.P9770		
<b>U.S. PATENT DOCUMENTS</b>										
Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear				
		Number-Kind Code <sup>2</sup> (if known)								
	US-									
<b>FOREIGN PATENT DOCUMENTS</b>										
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear				T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)								
		DE 42177444 A1		12-03-1992	Hitachi Ltd.					
		EP 1030237 A1		08-23-2000	Hewlett Packard Company					
		JP76139 A0		3-14-2000	Nippon Telgr. & Telph. Corp.					
		WO 97/29567 A1		08-14-1997	Fortress U & T, Ltd.					
		WO 01/75564								
		WO 01/75565 A2		10-11-2001	Intel Corporation					
		WO 01/75595 A2		10-11-2001	Intel Corporation		NOV 03 2003			
		WO 01/27723 A2		04-19-2001	Hewlett Packard Company					
		WO 01/27821 A2		04-19-2001	Hewlett Packard Company		Technology Center 2100			
		WO 02/17555		02/28/2002	Verisign, Inc.					
		WO 02/086684		10/31/2002	Hewlett Packard					
<b>RECEIVED</b> <small>NOV 03 2003</small>										
Examiner Signature					Date Considered					

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English Translation is attached.

Applicant's unique citation designation number (optional). Applicant is to place a check mark here if English translation is attached.  
This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

DRMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313. If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Substitute for Form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**  
(use as many sheets as necessary)

Sheet 4 of 4 Attorney Docket Number 042390.P9770

**Complete if Known**

Application Number	09/752,134
Filing Date	12/27/00
First Named Inventor:	G. Neiger, et al.
Art Unit	2186
Examiner Name	Unassigned

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		CHIEN, ANDREW A., et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor," 7th Annual IEEE Symposium, FCCM '99 Proceedings 4/21/1999, pp. 209-221, XP010359180, ISBN: 0-7695-0375-6, Los Alamitos, CA.	
		HEINRICH, J., "MIPS R4000 Microprocessor User's Manual," Chapter 4, Memory Management, pages 61-97, 1993	
		IBM Technical Disclosure Bulletin, "Information Display Technique For A Terminate Stay Resident Program," Vol. 34, Issue No. 7A, Pages 156-158, December 1, 1991.	
		KARGER, PAUL A., et al., "A VMM Security Kernel for the VAX Architecture," Proceedings of the Symposium on Research in Security and Privacy, 5/7/1990, pp. 2-19, XP010020182, ISBN: 0-8186-2060-9, Boxborough, MA.	
		KASHIWAGI, KAZUHIKO, et al., "Design and Implementation of Dynamically Reconstructing System Software," Software Engineering Conference, 1996 Asia Pacific Seoul, South Korea, IEEE Comput. Soc. December 4, 1996, pages 278-287	
		PCT Search Report dated 7/29/03 (U.S. Patent No. '075 Previously cited).	RECEIVED NOV 03 2003
		PCT Search Report dated 7/22/03	Technology Center 2100
		ROBIN, JOHN SCOTT and IRVINE, CYNTHIA E., "Analysis of the Pentium's Ability to Support a Secure Virtual Machine Monitor," Proceedings of the 9th USENIX Security Symposium, 8/14/2000, pp. 1-17, XP002247347, Denver, CO.	
		TRUSTED COMPUTING PLATFORM ALLIANCE (TCPA), Main Specification Version 1.1a, 321 pages, Copyright 2000-2001	

Examiner Signature	Date Considered
--------------------	-----------------

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English Translation is attached.  
This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.